

2131

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|---|---|------------------------|-----------------|
| TRANSMITTAL FORM (to be used for all correspondence after initial filing) | | Application No. | 09/823,131 |
| | | Filing Date | March 30, 2004 |
| | | First Named Inventor | Carl M. Ellison |
| | | Art Unit | 2131 |
| | | Examiner Name | Ayaz R. Sheikh |
| Total Number of Pages in This Submission | 6 | Attorney Docket Number | 42390P8110 |

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ENCLOSURES (check all that apply)

| | | |
|---|---|--|
| <input checked="" type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment / Response <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input checked="" type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> PTO/SB/08 <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts/Incomplete Application <input type="checkbox"/> Basic Filing Fee <input type="checkbox"/> Declaration/POA <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53 | <input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s) | <input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): <div style="border: 1px solid black; height: 60px; margin-top: 5px;">Cited Reference(s)</div> |
| Remarks | | |

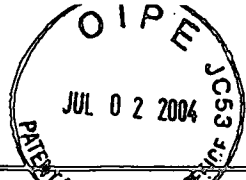
SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

| | |
|-------------------------|--|
| Firm or Individual name | William W. Schaal, Reg. No. 39,018 BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP |
| Signature | |
| Date | June 30, 2004 |

CERTIFICATE OF MAILING/TRANSMISSION

| | | | |
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| I hereby certify that this correspondence is being deposited with the United States Postal Service on the date shown below with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450. | | | |
| Typed or printed name | Susan McFarlane | | |
| Signature | | Date | June 30, 2004 |

Based on PTO/SB/21 (04-04) as modified by Blakely, Sokoloff, Taylor & Zafman (wlr) 06/04/2004.
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FEE TRANSMITTAL for FY 2004

Effective 10/01/2004. Patent fees are subject to annual revision.

☐ Applicant claims small entity status. See 37 CFR 1.27.

TOTAL AMOUNT OF PAYMENT (\$)

54.00

Complete if Known

Application Number 09/823,131
Filing Date March 30, 2001
First Named Inventor Carl M. Ellison
Examiner Name Ayaz R. Sheikh
Art Unit 2131
Attorney Docket No. 42390P8110

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METHOD OF PAYMENT (check all that apply)

☐ Check ☐ Credit card ☐ Money Order ☐ Other ☐ None

☒ Deposit Account

Deposit Account Number

02-2666

Deposit Account Name

Blakely, Sokoloff, Taylor & Zafman LLP

The Commissioner is authorized to: (check all that apply)

- ☐ Charge fee(s) indicated below ☐ Credit any overpayments
☒ Charge any additional fee(s) or underpayment of fees as required under 37 CFR §§ 1.16, 1.17, 1.18 and 1.20.
☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account

FEE CALCULATION

1. BASIC FILING FEE

| Large Entity | | Small Entity | | Fee Description | Fee Paid |
|--------------|----------|--------------|----------|------------------------|----------|
| Fee Code | Fee (\$) | Fee Code | Fee (\$) | | |
| 1001 | 770 | 2001 | 385 | Utility filing fee | |
| 1002 | 340 | 2002 | 170 | Design filing fee | |
| 1003 | 530 | 2003 | 265 | Plant filing fee | |
| 1004 | 770 | 2004 | 385 | Reissue filing fee | |
| 1005 | 160 | 2005 | 80 | Provisional filing fee | |
| SUBTOTAL (1) | | | | | (\$) |

2. EXTRA CLAIM FEES

| Total Claims | Extra Claims | Fee from below | Fee Paid |
|--------------------|--------------|----------------|----------|
| 23 | 20* | 3 x 18.00 | \$54.00 |
| Independent Claims | 3 | 3* x 86.00 | \$0.00 |
| Multiple Dependent | | | |

| Large Entity | | Small Entity | | Fee Description |
|--------------|----------|--------------|----------|---|
| Fee Code | Fee (\$) | Fee Code | Fee (\$) | |
| 1202 | 18 | 2202 | 9 | Claims in excess of 20 |
| 1201 | 86 | 2201 | 43 | Independent claims in excess of 3 |
| 1203 | 290 | 2203 | 145 | Multiple Dependent claim, if not paid |
| 1204 | 86 | 2204 | 43 | **Reissue independent claims over original patent |
| 1205 | 18 | 2205 | 9 | **Reissue claims in excess of 20 and over original patent |

SUBTOTAL (2) (\$)

54.00

*or number previously paid, if greater, For Reissues, see below

FEE CALCULATION (continued) JUL 07 2004

3. ADDITIONAL FEES

| Large Entity | | Small Entity | | Fee Description | Fee Paid |
|--------------|----------|--------------|----------|--|----------|
| Fee Code | Fee (\$) | Fee Code | Fee (\$) | | |
| 1051 | 130 | 2051 | 65 | Surcharge - late filing fee or oath | |
| 1052 | 50 | 2052 | 25 | Surcharge - late provisional filing fee or cover sheet | |
| 2053 | 130 | 2053 | 130 | Non-English specification | |
| 1812 | 2,520 | 1812 | 2,520 | For filing a request for <i>ex parte</i> reexamination | |
| 1804 | 920* | 1804 | 920* | Requesting publication of SIR prior to Examiner action | |
| 1805 | 1,840* | 1805 | 1,840* | Requesting publication of SIR after Examiner action | |
| 1251 | 110 | 2251 | 55 | Extension for reply within first month | |
| 1252 | 420 | 2252 | 210 | Extension for reply within second month | |
| 1253 | 950 | 2253 | 475 | Extension for reply within third month | |
| 1254 | 1,480 | 2254 | 740 | Extension for reply within fourth month | |
| 1255 | 2,010 | 2255 | 1,005 | Extension for reply within fifth month | |
| 1404 | 330 | 2401 | 165 | Notice of Appeal | |
| 1402 | 330 | 2402 | 165 | Filing a brief in support of an appeal | |
| 1403 | 290 | 2403 | 145 | Request for oral hearing | |
| 1451 | 1,510 | 2451 | 1,510 | Petition to institute a public use proceeding | |
| 1452 | 110 | 2452 | 55 | Petition to revive - unavoidable | |
| 1453 | 1,330 | 2453 | 665 | Petition to revive - unintentional | |
| 1501 | 1,330 | 2501 | 665 | Utility issue fee (or reissue) | |
| 1502 | 480 | 2502 | 240 | Design issue fee | |
| 1503 | 640 | 2503 | 320 | Plant issue fee | |
| 1460 | 130 | 2460 | 130 | Petitions to the Commissioner | |
| 1807 | 50 | 1807 | 50 | Processing fee under 37 CFR 1.17(q) | |
| 1806 | 180 | 1806 | 180 | Submission of Information Disclosure Stmt | |
| 8021 | 40 | 8021 | 40 | Recording each patent assignment per property (times number of properties) | |
| 1809 | 770 | 1809 | 385 | Filing a submission after final rejection (37 CFR § 1.129(a)) | |
| 1810 | 770 | 2810 | 385 | For each additional invention to be examined (37 CFR § 1.129(b)) | |
| 1801 | 770 | 2801 | 385 | Request for Continued Examination (RCE) | |
| 1802 | 900 | 1802 | 900 | Request for expedited examination of a design application | |

Other fee (specify)

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3)

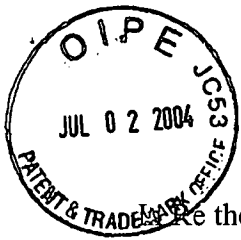
(\$)

SUBMITTED BY

Complete (if applicable)

Name (Print/Type) William W. Schaal Registration No. 39,018 Telephone (714) 557-3800
Signature [Signature] Date 06/30/04

Based on PTO/SB/17 (10-03) as modified by Blakely, Sokoloff, Taylor & Zafman (wtr) 02/10/2004.
SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450



#6 7-11-04
Docket No. 42390P8110
JDSW/Refers

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Re the Application of:

CARL M. ELLISON, ET AL.

Application No.: 09/823,131

Filed: March 30, 2001

For: **File Checking Using Remote Signing
Authority Via a Network**

Art Group: 2131

Examiner: Ayaz R. Sheikh

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INFORMATION DISCLOSURE STATEMENT UNDER 37 C.F.R. §1.97

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

In accordance with the duty of disclosure, enclosed is a copy of IDS Citation Form PTO/SB/08 or PTO-1449, together with copies of the documents cited on that form, except for copies not required to be submitted (e.g., copies of U.S. patents and U.S. published patent applications need not be enclosed for applications filed after June 30, 2003). This IDS and IDS Citation Form are being submitted before the mailing of a first Office Action. It is respectfully requested that the cited references be considered and that the enclosed copy of PTO/SB/08 be initialed by the Examiner to indicate such consideration and a copy thereof returned to applicant(s).

It is hereby stated that no item of information contained in the Information Disclosure Statement was cited in a patent office in a counterpart application, and, to the knowledge of the undersigned, after making reasonable inquiry, no item of information contained in the Information Disclosure Statement was known to any individual associated with the filing or prosecution of the subject application more than three months prior to the filing of the Information Disclosure Statement.

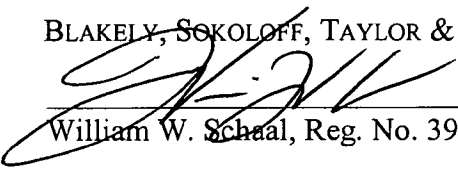
The submission of this Information Disclosure Statement is not to be construed as a representation that a search has been made in the subject application and is not to be construed as an admission that the information cited in this statement is material to patentability.

Applicant has concurrently submitted an electronic Information Disclosure Statement(s). Any fees that are required for submission of an Information Disclosure Statement were included in the electronic submission. Applicant respectfully requests that one submitted fee be accepted for the second and any subsequent Information Disclosure Statement submissions.

Respectfully submitted,

BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP

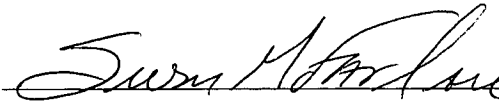
Date: June 30, 2004



William W. Schaal, Reg. No. 39,018

12400 Wilshire Boulevard, 7th Floor
Los Angeles, CA 90025
Telephone: (714) 557-3800

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Susan McFarlane

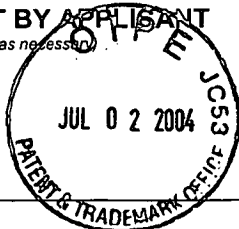
06-30-04

Date

Substitute for form 1449A/PTO

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)



Complete if Known

| | |
|----------------------|----------------|
| Application Number | 09/823,131 |
| Filing Date | March 30, 2000 |
| First Named Inventor | Ellison, Carl |
| Group Art Unit | 2131 |
| Examiner Name | Sheikh, Ayaz |

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Sheet 1 of 2

Attorney Docket No: 42P08110

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FOREIGN PATENT DOCUMENTS

| Examiner Initials* | Foreign Document No | Publication Date | Name of Patentee or Applicant of cited Document | Class | Subclass | T ² |
|--------------------|---------------------|------------------|---|-------|----------|----------------|
| | EP-EP0892521 | 01/20/1999 | Zamek, Steven | | | |
| | EP-EP1055989 | 11/29/2000 | Proudlar, Graeme J., et al. | | | |
| | EP-EP1056014 | 11/29/2000 | Proudlar, Graeme J., et al. | | | |
| | WO-WO0201794 | 01/03/2002 | Ellison, Carl | | | |
| | WO-WO02060121 | 08/01/2002 | Grawrock, David W. | | | |
| | WO-WO03058412 | 07/17/2003 | Glew, Andrew, et al. | | | |
| | WO-WO9812620 | 03/26/1998 | Nishiuchi, Taiki, et al. | | | |
| | WO-WO9918511 | 04/15/1999 | Edrich, David R. | | | |

OTHER DOCUMENTS -- NON PATENT LITERATURE DOCUMENTS

| Examiner Initials* | Cite No ¹ | Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published. | T ² |
|--------------------|----------------------|---|----------------|
| | | COULOURIS, GEORGE, et al., "Distributed Systems, Concepts and Designs", 2nd Edition, (1994), 422-424 | |
| | | CRAWFORD, JOHN, "Architecture of the Intel 80386", <u>Proceedings of the IEEE International Conference on Computer Design: VLSI in Computers and Processors (ICCD '86)</u> , (October 6, 1986), 155-160 | |
| | | FABRY, R.S., "Capability-Based Addressing", <u>Fabry, R.S., "Capability-Based Addressing," Communications of the ACM, Vol. 17, No. 7, (July 1974), 403-412</u> | |
| | | FRIEDER, GIDEON, "The Architecture And Operational Characteristics of the VMX Host Machine", <u>The Architecture And Operational Characteristics of the VMX Host Machine, IEEE, (1982), 9-16</u> | |
| | | INTEL CORPORATION, "IA-64 System Abstraction Layer Specification", <u>Intel Product Specification, Order Number 245359-001, (01/2000), 1-112</u> | |
| | | INTEL CORPORATION, "Intel 82802AB/82802AC Firmware Hub (FWH)", <u>Intel Product Datasheet, Document Number 290658-004, (November 2000), 1-6, 17-28</u> | |
| | | INTEL CORPORATION, "Intel IA-64 Architecture Software Developer's Manual", <u>Volume 2: IA-64 System Architecture, Order Number 245318-001, (01/2000), i, ii, 5.1-5.3, 11.1-11.8, 11.23-11.26</u> | |
| | | MENEZES, ALFRED J., et al., "Handbook of Applied Cryptography", <u>CRC Press Series on Discrete Mathematics and its Applications, Boca Raton, FL, XP002165287, ISBN 0849385237, (Oct. 1996), 403-405, 506-515, 570</u> | |
| | | NANBA, S., et al., "VM/4: ACOS-4 Virtual Machine Architecture", <u>VM/4: ACOS-4 Virtual Machine Architecture, IEEE, (1985), 171-178</u> | |
| | | RSA SECURITY, "Hardware Authenticators", <u>www.rsasecurity.com/node.asp?id=1158, 1-2</u> | |
| | | RSA SECURITY, "RSA SecurID Authenticators", <u>www.rsasecurity.com/products/securid/datasheets/SID_DS_0103.pdf, 1-2</u> | |

EXAMINER

DATE CONSIDERED

Substitute Disclosure Statement Form (PTO-1449)

* EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. 1 Applicant's unique citation designation number (optional) 2 Applicant is to place a check mark here if English language Translation is attached

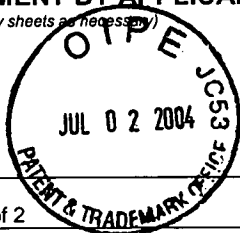
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**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)



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| | |
|----------------------|----------------|
| Application Number | 09/823,131 |
| Filing Date | March 30, 2000 |
| First Named Inventor | Ellison, Carl |
| Group Art Unit | 2131 |
| Examiner Name | Sheikh, Ayaz |

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Sheet 2 of 2

Attorney Docket No: 42P08110

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| | | RSA SECURITY, "Software Authenticators", www.srasecurity.com/node.asp?id=1313 , 1-2 | |
| | | SCHNEIER, BRUCE, "Applied Cryptography: Protocols, Algorithm, and Source Code in C", Wiley, John & Sons, Inc., XP002939871; ISBN 0471117099, (Oct. 1995), 47-52 | |
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| | | SCHNEIER, BRUCE, "Applied Cryptography: Protocols, Algorithms, and Source Code C", Wiley, John & Sons, Inc., XP002111449; ISBN 0471117099, (Oct. 1995), 169-187 | |
| | | SCHNEIER, BRUCE, "Applied Cryptography: Protocols, Algorithms, and Source Code in C", 2nd Edition; Wiley, John & Sons, Inc., XP002251738; ISBN 0471128457, (Nov. 1995), 28-33; 176-177; 216-217; 461-473; 518-522 | |

EXAMINER

DATE CONSIDERED

Substitute Disclosure Statement Form (PTO-1449)

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 809. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. 1 Applicant's unique citation designation number (optional) 2 Applicant is to place a check mark here if English language Translation is attached

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